



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIPT
✓
44

Applicant(s): Shi, et al.

Title: SYSTEM AND SOFTWARE FOR DATA COLLECTION AND
PROCESS CONTROL IN SEMICONDUCTOR MANUFACTURING
AND METHOD THEREOF

App. No.: 09/905,220

Filed: 07-12-01

Examiner: Unknown

Group Art Unit: 2812

Atty. Dkt. No. TT4869

Application Processing Division
Customer Correction Branch
Assistant Secretary in Connection with
Patents and Trademarks
U.S. Patent & Trademark Office
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

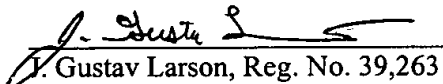
Dear Sir:

Please make the indicated corrections as shown on the enclosed Filing Receipt. Please delete "ARE" between "SOFTWARE" and "FOR" in the title as shown on the enclosed Declaration. Please contact me at the below-listed telephone number if you have any questions or need additional information.

Respectfully submitted,

10-9-01

Date


J. Gustav Larson, Reg. No. 39,263
Attorney for Applicant(s)
Simon, Galasso & Frantz, PLC
P.O. Box 26503
Austin, Texas 78755-0503
(512) 336-8957 (phone)
(512) 336-9155 (fax)

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

- ☒ Declaration Submitted with Initial Filing, OR
☐ Declaration Submitted after Initial Filing
(surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number TT4869
First Named Inventor Shi, et al
COMPLETE IF KNOWN
Application Number
Filing Date
Group Art Unit
Examiner Name

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SYSTEM AND SOFTWARE FOR DATA COLLECTION AND PROCESS CONTROL IN SEMICONDUCTOR MANUFACTURING AND METHOD THEREOF

the specification of which:

☒ is attached hereto.

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

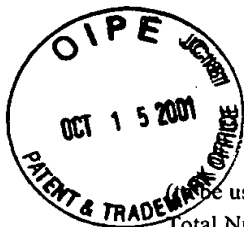
Application Number(s)	Filing Date (MM/DD/YYYY)

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto



TRANSMITTAL FORM

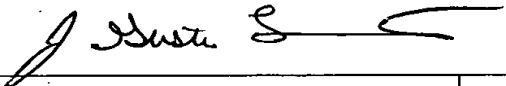
Be used for all correspondence after initial filing)
Total Number of Pages in this Submission 30

Application Number: 09/905,220
Filing Date: 07-12-01
First Named Inventor: Shi, et al.
Group Art Unit: 2812
Examiner: Unknown
Attorney Docket No.: TT4869

ENCLOSURES (check all that apply)

- | | | |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Fee Attached
<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/Declaration(s)
<input type="checkbox"/> Extension of Time Request
<input type="checkbox"/> Express Abandonment Request
<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Response to Missing Parts/Incomplete Application
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)
<input checked="" type="checkbox"/> Drawing(s)
<input type="checkbox"/> Licensing-related Papers
<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition
<input type="checkbox"/> To Convert a Provisional Application
<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address
<input type="checkbox"/> Terminal Disclaimer
<input type="checkbox"/> Small Entity Statement
<input type="checkbox"/> Request for Refund
<input type="checkbox"/> After Allowance Communication to Group | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Request for Corrected Filing Receipt
<input type="checkbox"/> Letter to Draftsperson
<input type="checkbox"/> Formal Drawings (after initial filing)
<input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Request for Corrected Assignment
<input checked="" type="checkbox"/> Response to Notice to File Corrected Application Papers
<input type="checkbox"/> Additional Enclosure(s) (please identify below): |
|---|---|---|

Remarks:

Firm Name	Simon, Galasso & Frantz, PLC P.O. Box 26503 Austin, Texas 78755-0503	
Signature of Applicant, Attorney, or Agent		
Name and Registration No.:	J. Gustav Larson, Reg. No. 39,263	Date: 10-9-01

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on 10-9-01.

Terri Alloway
Typed or Printed Name


Signature

FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 170.00

Complete if Known

METHOD OF PAYMENT (check one)

☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number	01-0365
Deposit Account Name	Advanced Micro Devices, Inc.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Charge the Issue Fee Set in 37 CFR 1.18 at the mailing of the Notice of Allowance

☐ Applicant claims small entity status.

See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) _____

2. CLAIMS

Claims	Extra	Fee from below	Fee Paid
Total	(-20 =)		
Indep.	(-3 =)		
Multiple Dep.			

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim
109 84	209 42	Reissue independent claims over original patent
110 18	210 9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) _____

Application Number	09/905,220
Filing Date	07-12-01
First Named Inventor	Shi, et al.
Group Art Unit	2812
Examiner Name	Unknown
Attorney Docket Number	TT4869


FEE CALCULATION (continued)

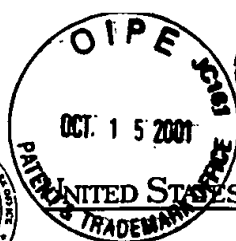
3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 150.00

SUBMITTED BY: Simon, Galasso & Frantz, PLC.				Complete (if applicable)	
Typed or Printed Name		J. Gustav Larson, Reg. No. 39,263			
Signature		Date	10-9-01	Deposit Account User ID	



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/905,220	07/12/2001	2812	1068	TT4869	20	31	5

CONFIRMATION NO. 5200

27412
SIMON, GALASSO & FRANTZ PLC
P.O. BOX 26503
AUSTIN, TX 78755-0503

FILING RECEIPT



OC000000006483254

Date Mailed: 08/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Yurong Shi, Austin, TX;
David Alan Richardson, Austin, TX;
Russell Clinton Brown, Austin, TX;
Donald Craig Likes, Austin, TX;
Richard Bruce Patty, Buda, TX;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/27/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

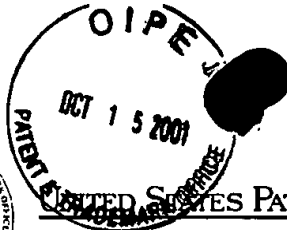
Early Publication Request: No

Title

System and software ^{are} for data collection and process control in semiconductor manufacturing and method thereof

Preliminary Class

438



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/905,220	07/12/2001	Yurong Shi	TT4869

CONFIRMATION NO. 5200

27412
SIMON, GALASSO & FRANTZ PLC
P.O. BOX 26503
AUSTIN, TX 78755-0503

FORMALITIES LETTER



OC000000006483255

Date Mailed: 08/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:
Richard Bruce Patty
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

10/17/2001 BSAYASI1 00000043 010365 09905220

01 FC:105 130.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

09905220 101501

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09905220-101501



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Title: SYSTEM AND SOFTWARE FOR DATA COLLECTION AND
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App. No.: 09/905,220

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Examiner: Unknown

Group Art Unit: 2812

Atty. Dkt. No. TT4869

Attention: Box Missing Parts
Honorable Commissioner of
Patents and Trademarks
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

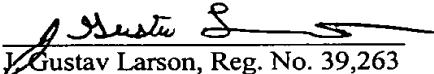
Dear Sir:

In response to the Notice to File Corrected Application Papers mailed August 27, 2001, please find enclosed herewith:

- ☒ a Transmittal Form;
- ☒ a copy of the Notice to File Corrected Application Papers;
- ☒ a Fee Transmittal Form;
- ☒ a combined declaration and power of attorney executed on behalf of Advanced Micro Devices, Inc.;
- ☒ an Assignment to Advanced Micro Devices, Inc., with Recordation Form Cover Sheet;
- ☒ 22 Sheets of Formal Drawings;
- ☒ Request for Corrected Filing Receipt; and
- ☒ a return postcard.

Respectfully submitted,

10-9-01
Date


Gustav Larson, Reg. No. 39,263
Attorney for Applicant(s)
Simon, Galasso & Frantz, PLC
P.O. Box 26503
Austin, Texas 78755-0503
(512) 336-8597 (phone)
(512) 336-9155 (fax)